Electronic Forms Submission (EFS): Help Document   Version 2.0

Introduction:

The DTAS-Online Electronic Forms Submission (EFS) Help Document covers the following topics:

- Accessing EFS
- Beginning a Submission
- Completing the Online Submission Form
    - Step 1: User Information
    - Step 2: Form Selection
    - Step 3: Additional Documentation
    - Step 4: Review and Submit Complete Package
    - Step 5: Receive Confirmation

Accessing EFS

To access the EFS website you must first visit the DTAS-Online portal page (https://dtas-online.pmddtc.state.gov). Then click on the EFS Information Page or the Electronic Form Submission menu item.
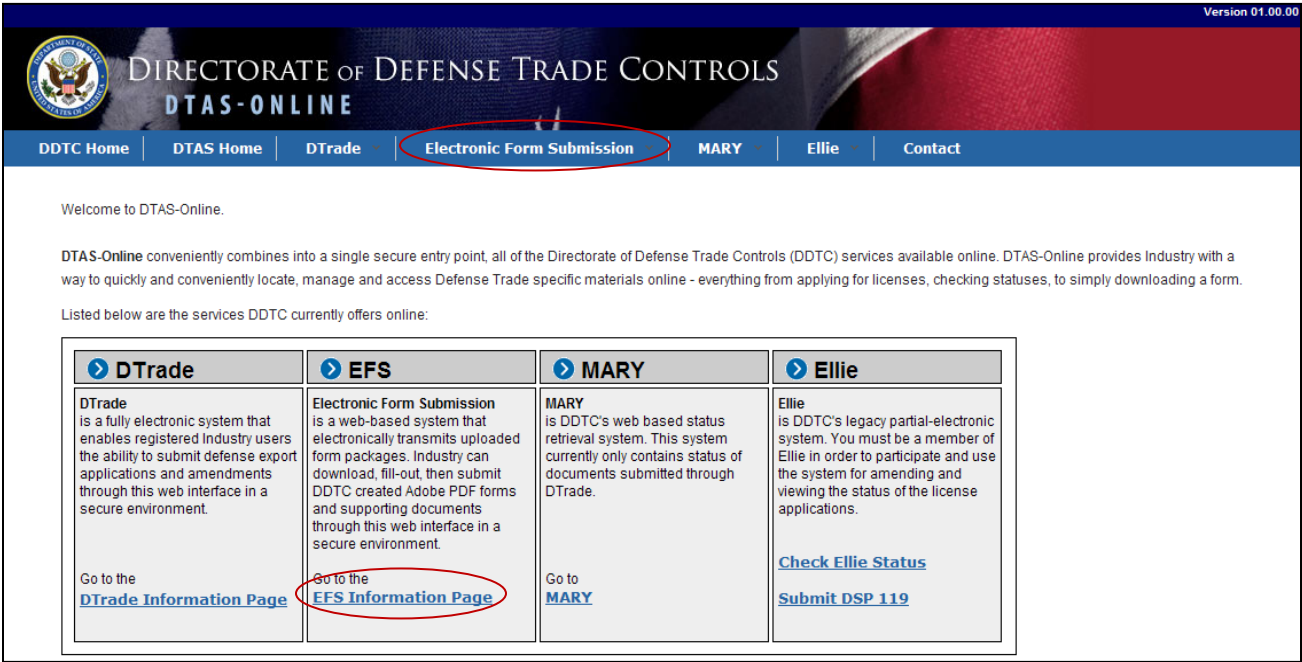

Figure 1 – DTAS-Online Home

Once you have clicked on the EFS Information Center Page link, the EFS information Center page will be displayed.

The EFS Information Center Page provides general guidance on how to use the system. The menu on the right side provides links to additional documentation about EFS such as frequently asked questions, guidelines and instructions, and the forms that can be submitted through the EFS application.

⚠ **Review the EFS Information Center Page for the minimum system requirements.**

Beginning a Submission

1. To begin, click the Begin Submission link (**Begin Submission**) located in the right side menu bar on the EFS Information Center page.
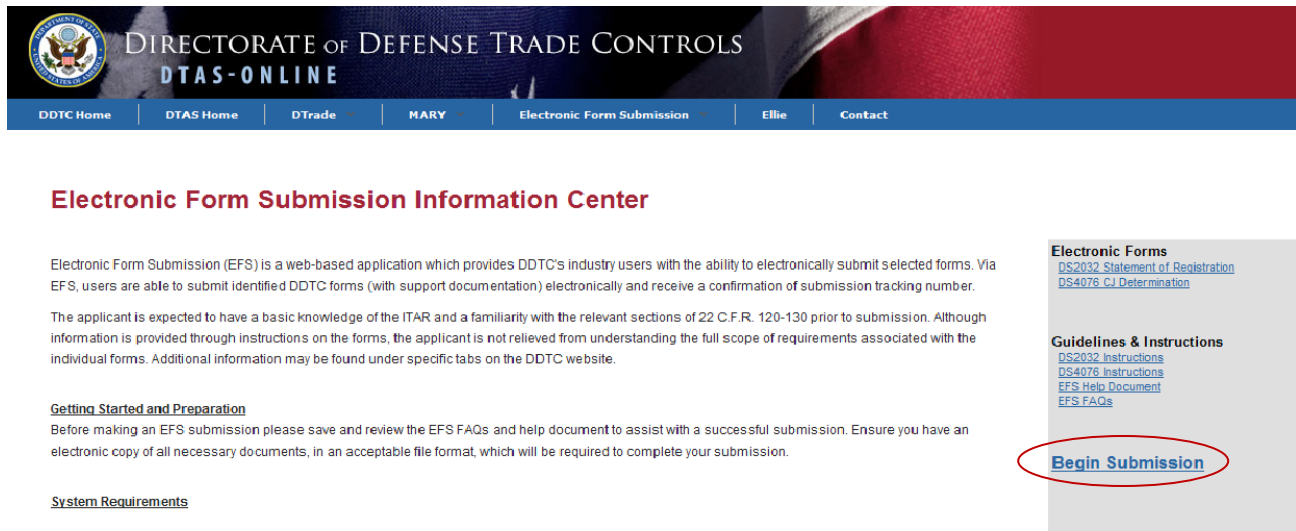

Figure 2 – EFS Information Center Page

2. The Office of Defense Trade Controls Conditions of Use and Privacy Notice will pop up. Read both the **Conditions of Use** and **Privacy Notice** carefully.


Figure 3 – Conditions of Use and Privacy Notice

3. Once you have read the conditions of use and privacy notice you have two options:
   a. **Accept:** If this option is selected, you will be taken to the Electronic Form Submission site.
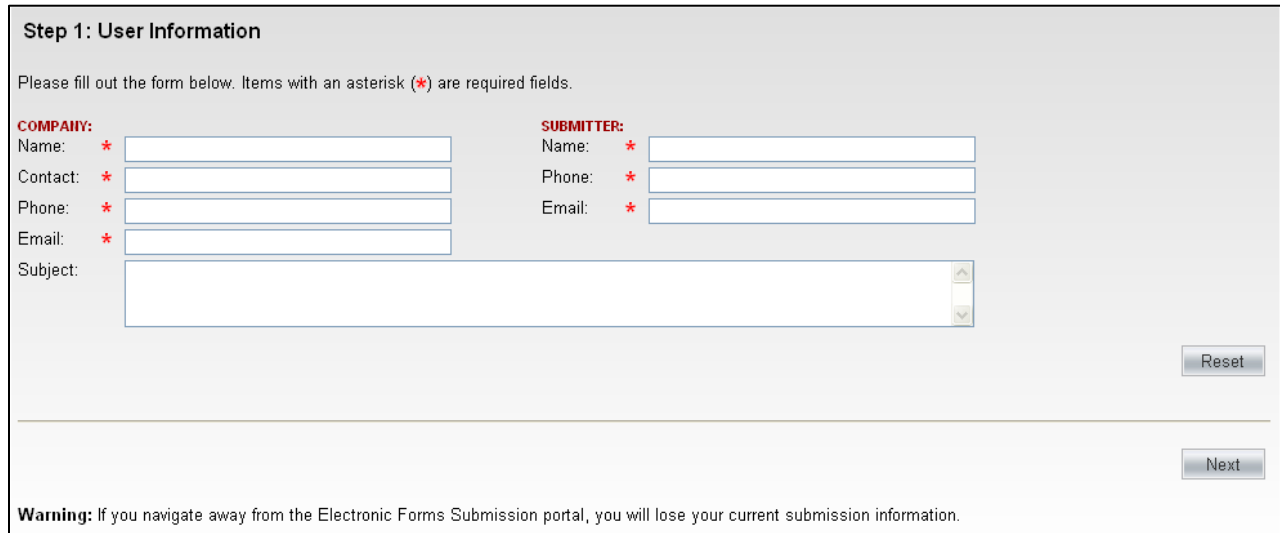   b. **Decline**: If this option is selected, you will be referred back to the EFS Information Center page.

Completing the Online Submission Form

STEP ONE: User Information
1. Fill in **EACH** block marked with a red asterisk (✱).
2. Ensure **ALL** information is accurate.

   ⚠ **Note**: To quickly reset the text fields click the **Reset** button (Reset)
3. Now click the **Next** button (Next) to proceed to step 2.

Figure 4 – Step 1: User Information

STEP TWO: Form Selection
Before beginning this section, ensure that you have the correct form to be submitted. The available forms for uploading through EFS can be found on the EFS Information Center page right side menu bar under "Forms". Make sure these forms are filled out and saved to your computer before you begin this process.

1. Select a form type from the Form Type drop down menu.
2. Click the **Browse** button (Browse) and locate your form from your personal list of documents
   ⚠ **Note:** This file **MUST** be the current PDF form generated by DOS.
   ⚠ **Note:** The browser will timeout after being idle for more than 10 minutes. A warning message will appear 1 minute before the session times out.   If the session times out, any data entered into the web form will not be retained.
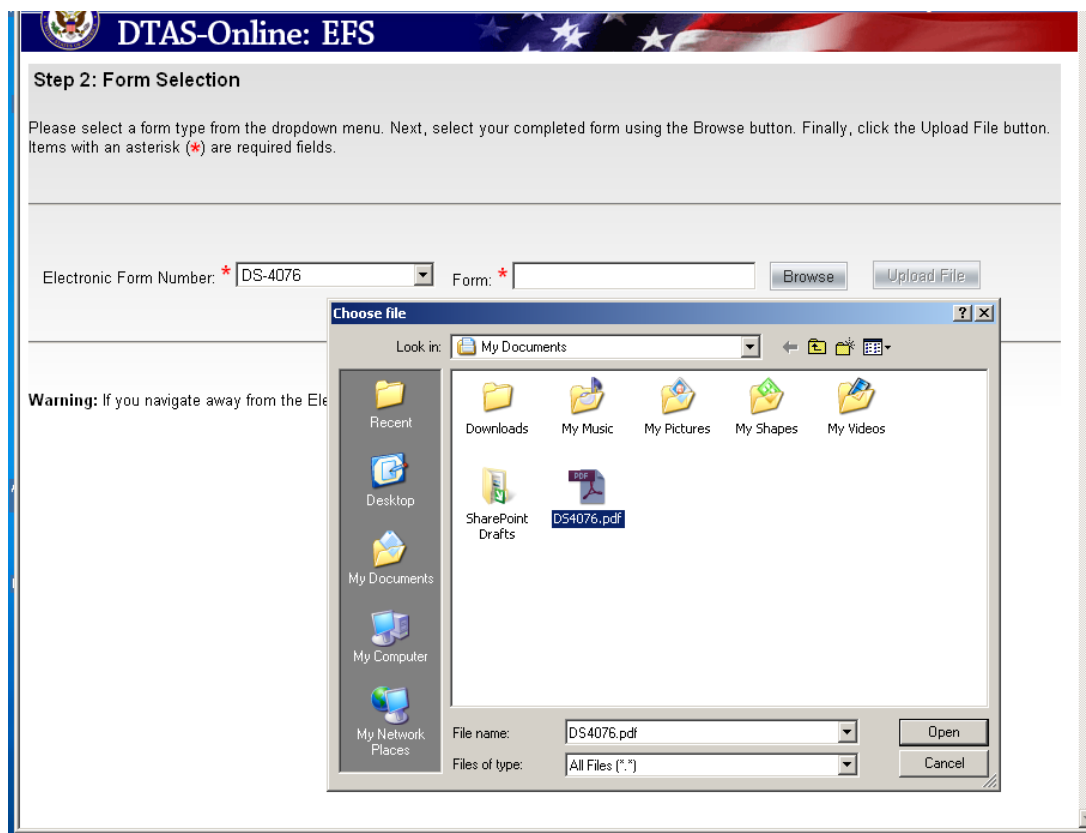
Figure 5 – Step 2: Form Selection

Figure 6 – Step 2: Browse for Appropriate Form – DS-4076 Example

3. Once you have selected your form from your computer, click the **Open** button. The file name for the form will appear in the Form name field.
4. Now click the **Upload File** button (Upload File). A confirmation window appears.

Step 2: Form Selection

The file below has been successfully uploaded. Click the 'Next' button to continue to Step 3: Upload Additional Documentation

My DS4076.pdf   size: 130 KB   last modified: May 31, 2012

Next

Warning: If you navigate away from the Electronic Submission portal, you will lose your current submission information.

Figure 7 – Step 2: Upload Confirmation

5.   Now click the **Next** button (Next) to proceed to step 3.
   ⚠ **Note:** If you do not click the **Next** button and the browser remains idle for 10 minutes, the session will be cancelled. A warning message will appear 1 minute before the session times out.   If the session times out, any data entered into the web form will not be retained.
   ⚠ **Note:** If you navigate away from EFS, the session will be cancelled. Data entered in to the web form will not be retained.

Error Messages during Form Upload
The following are different error messages during the form upload process and instructions on how they can be fixed.

1.   If you attempt to upload a document that is <u>not in PDF format,</u> you will receive an error message stating that "The file you attempted to upload was not a PDF".

⚠ The file you attempted to upload was not a pdf, please upload an authorized Department of State PDF for the selected Form.
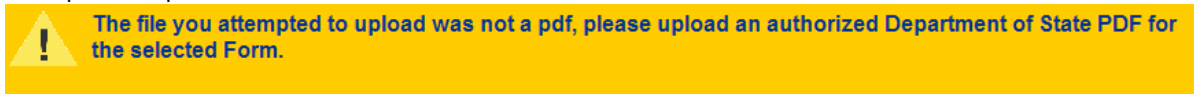
Figure 8 – Step 2: Error Message not a PDF

To correct this error, make sure the file you are uploading is a PDF.

2.   If you attempt to upload a PDF that is <u>not authorized by the Department of State,</u> you will receive an error message stating "The PDF may not have been created by the Department of State or someone may have attempted to modify it."

⚠ There was a problem validating the PDF you uploaded. The pdf may not have been created by the Department of State or someone may have attempted to modify it. Please check to ensure it is the correct PDF Form and the current version, then try to perform the upload again.
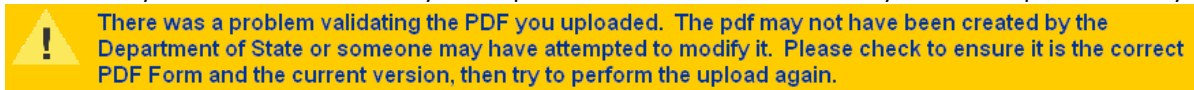
Figure 9 – Step 2: Error Message Authorized DOS Form

To correct this error, make sure you are using the authorized DOS PDF form. Authorized forms are located on the EFS Information Center page. Note that if you are using a form previously saved to your desktop, it may be out of date—always download the latest version from the EFS Information page.

3.   If you attempt to upload a file containing a blank form, you will receive the following error:

⚠ The form is blank!!!
The document properties of the file you uploaded indicate that the form has not been filled out. Please verify that you are submitting a completed form file.
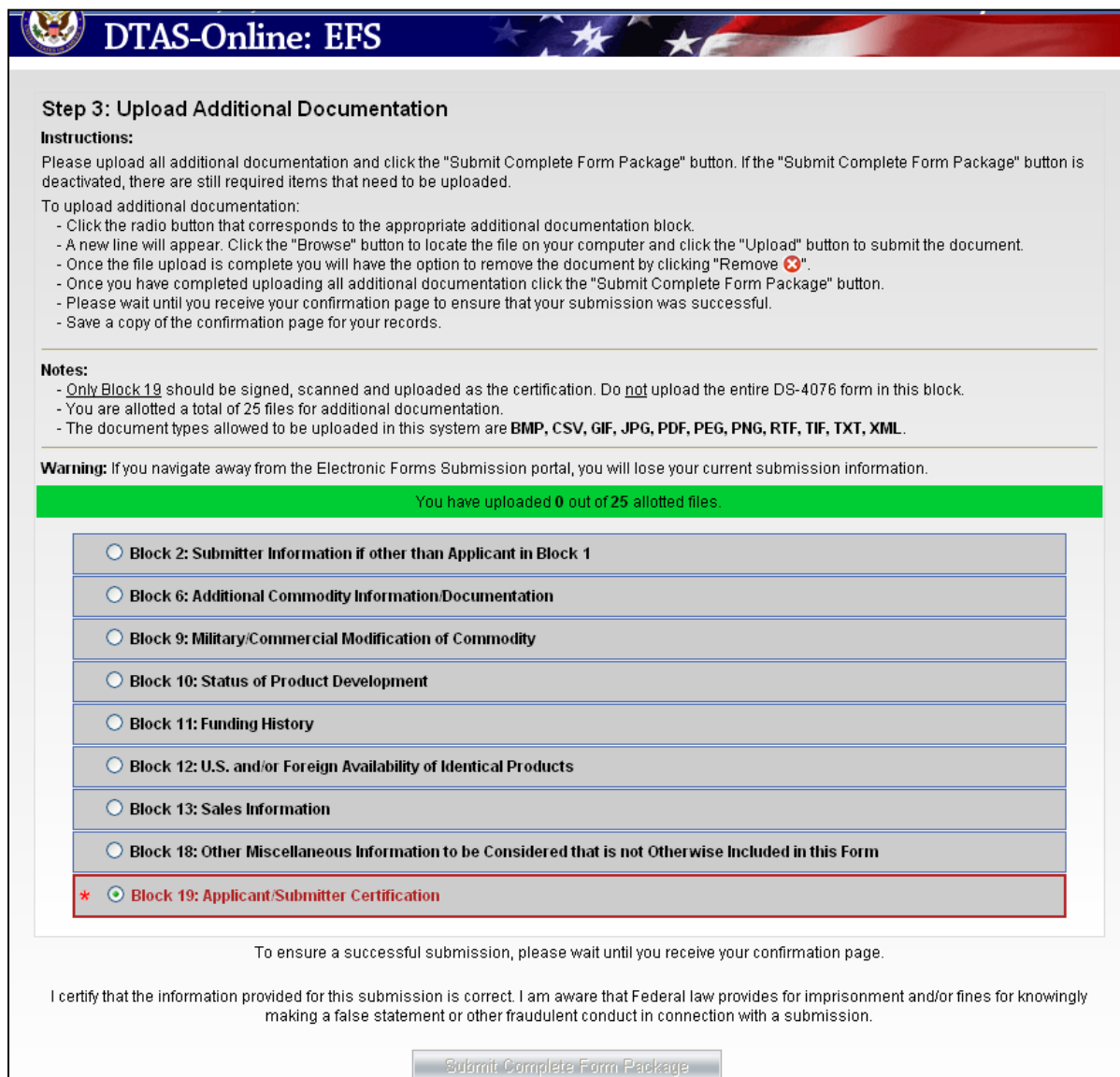
Figure 10 – Step 2: Error Message Blank Form

To correct this error, ensure you are attaching the correct file that contains a completed form (e.g., DS-4076 or DS-2032).

STEP THREE: Additional Documentation

At this stage of the submission process you can upload additional documents. All files should be flattened, optimized and/or compressed as much as possible to minimize file transfer sizes. Individual files must be less than or equal to 35 megabytes in size.

⚠ Note: We do advise submitters to adhere to the following suggestions:
1. Do <u>NOT</u> use most special characters (example: &, –, *, %, /, #, ', blank spaces and accent marks) with the exception of underscores ("_") in the file name.
2. Do <u>NOT</u> attach multiple documents with the same name.

⚠ **Note:** All blocks marked with a red asterisk (✱) or highlighted with a red outline are <u>required</u> before you can submit the complete package.

⚠ **DS-4076 Note:** - If you are submitting Block 19, Applicant/Submitter Certification, be sure to only scan and upload Block 19 of the form. If you scan and upload the entire form, your submission may be rejected. In addition, when scanning and saving Block 19, ensure that you do not inadvertently overwrite the PDF file that was generated for the original, complete DS-4076 form. Uploading the incorrect file in Step 2, Form Selection, will result in an error when trying to upload the DS-4076 form in Step 2 above. You can upload up to 20 additional documents

⚠ **DS-2032 Note:** – Block 12 identifies what additional documents are required based upon information entered into the form. One file per document type is allowed. If the proper documents as identified in the DS-2032 are not uploaded, the application will be rejected and you will be contacted by DDTC with instructions to resubmit.


Figure 11 – Step 3: Upload Additional Documentation for DS-4076

Step 3: Upload Additional Documentation

Instructions:

Please upload all additional documentation and click the "Submit Complete Form Package" button.

To upload additional documentation:
- Click the radio button that corresponds to the appropriate additional documentation block.
- A new line will appear. Click the "Browse" button to locate the file on your computer and click the "Upload" button to submit the document.
- Once the file upload is complete you will have the option to remove the document by clicking "Remove ❌".
- Once you have completed uploading all additional documentation click the "Submit Complete Form Package" button.
- Please wait until you receive your confirmation page to ensure that your submission was successful.
- Save a copy of the confirmation page for your records.

Notes:
- A scanned DS-2032 upload with the Senior Officer Signature line signed and dated is required because the electronic DS-2032 form cannot be signed.
- You are allotted one file per attachment type for additional documentation.
- The document types allowed to be uploaded in this system are **BMP, CSV, GIF, JPEG, JPG, PDF, PNG, RTF, TIF, TXT, XML.**

Warning: If you navigate away from the Electronic Forms Submission portal, you will lose your current submission information.

- ⦿ Block 4: Foreign (i.e., Non-U.S.) Parent Designation
- ◯ Block 5: Lapsed Fee Calculation
- ◯ Block 5: IRS Non-Profit Authorization
- ◯ Block 5: Electronic Payment Confirmation
- ◯ Block 6: Document Issued/Endorsed by Govt. to do business
- ◯ Block 6: Registration Organizational Type "Other" Explanation
- ◯ Block 7: U.S. Government Issued Permanent Resident Card
- ◯ Block 12: Organizational Chart
- ◯ Block 12: Indicted/Charged/Convicted Documentation
- ◯ Block 12: DTCC Reinstatement Letter
- ◯ Block 12: U.S. Government Ineligibility Notice
- ◯ Block 12: U.S. Registrant - Foreign Owned or Controlled Explanation
- ◯ Block 12: Broker Report
- ◯ Block 12: Other Amplifying Data
- ◯ Block 12: Signed and Scanned DS-2032

To ensure a successful submission, please wait until you receive your confirmation page.

Figure 12 – Step 3: Upload Documentation for DS-2032

1. Select the type of additional documentation you wish to upload. Click the radio button (⦿) next to the corresponding block in which you have additional documentation.
2. The following should appear below your choice:

Figure 12 – Step 3: Upload Documentation Example

3. Upload your additional documentation by clicking the **Browse** button (Browse).
   - ⚠ **DS-4076 Note:**, when you select Block 19: Applicant/Submitter Certification and click the **Browse** button, a message will be displayed to remind you to only sign, scan and upload the Block 19 portion of form, and not the entire DS-4076 form.
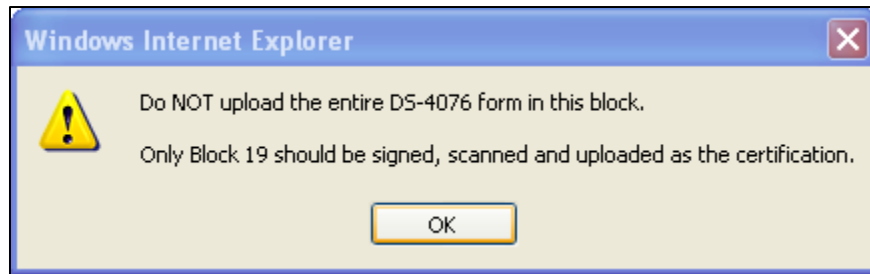

Figure 13 – Step 3: Browse for DS-4076 Block 19 File (Reminder Message)

   - ⚠ **DS-2032 Note:**, when you select Block 12: Signed and Scanned DS-2032 and click the **Browse** button, a message will be displayed to remind you to sign, scan and upload the entire DS-2032 form.
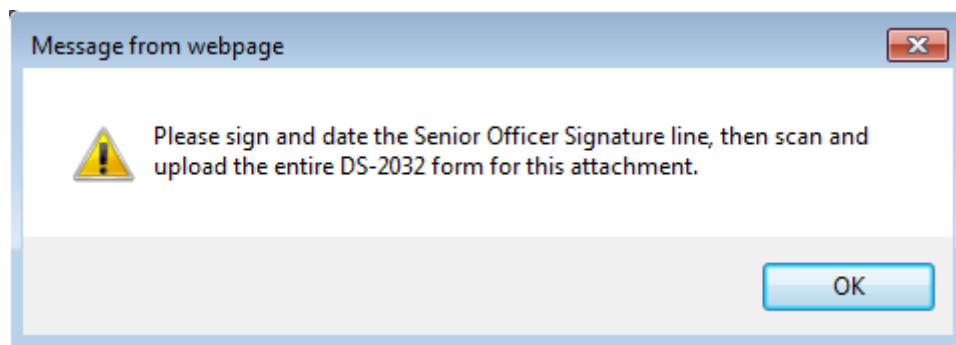
Figure 14 – Step 3: Browse for DS-2032 Block 12 File (Reminder Message)

4. Select the document you wish to upload from your documents.
   - ⚠ **Note:** File must NOT include macros or scripts of any kind.
   - ⚠ **Note:** Allowable file types are BMP, CSV, GIF, JPEG, JPG, PDF, PNG, RTF, TIF, TXT and XML.
   - ⚠ **Note:** Do NOT use special characters (example: &, -, *, %, /, #, etc.) in attachment file names.
   - ⚠ **Note:** File size must not exceed 35 megabytes.
5. After you have selected your document, click the Open button. The **Upload File** button should now be activated.
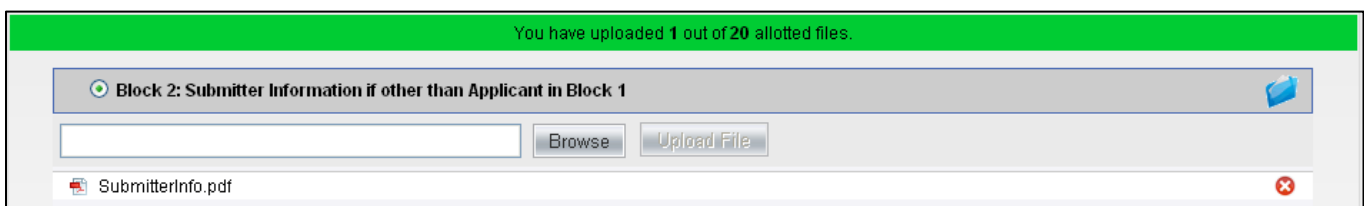6. Click the **Upload File** button (Upload File) and the document will appear in the space below.

Figure 15 – Step 3: Upload Documentation for DS-4076 Successful

   - ⚠ **DS-4076 Note:** this bar changes color from green, to yellow, to red as the number of files you have uploaded increases.

8. Repeat steps 1-7 for every document that you would like to upload
   - ⚠ **DS-2032 Note**: Only one file per document type is allowed.
   - ⚠ **DS-4076 Note:** No more than 20 additional documents are allowed.

9. Once all required documentation has been uploaded, the **Submit Complete Form Package** button (Submit Complete Form Package) will become activated.

10. Click **Submit Complete Form Package** button (Submit Complete Form Package) to proceed to Step 4.

Removing Documents
If you wish to remove documents after you have uploaded them, you can do so by clicking the red X icon (⊗).

Error Messages during Upload Additional Documentation
The following are different error messages and how they can be fixed during the form upload process.

1. If you attempt to upload an invalid file type you will receive an error message stating that "You tried to upload an invalid file type. The valid file types are BMP, CSV, GIF, JPG, JPEG, PDF, PNG RTF, TIF, TXT and XML".

> ⚠ **You tried to upload an invalid file type. The valid file types are bmp, csv, gif, jpg, pdf, peg, png, rtf, tif, txt, xml.**
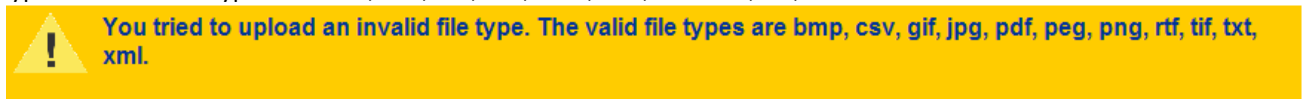
<p align="center">Figure 16 – Step 3: Error Message File Type</p>

To correct this error only use valid file types which are: BMP, CSV, GIF, JPG, JPEG, PDF, PNG RTF, TIF, TXT and XML.

2. If you are submitting a DS-4076 and attempt to upload more than 20 documents, you will receive an error message stating that "You have exceeded the allotted number of files to upload for this form. Try combining some of your documents and then try again."

> ⚠ **You have exceeded the allotted number of files to upload for this form. Try combining some of documents, then perform the upload again.**
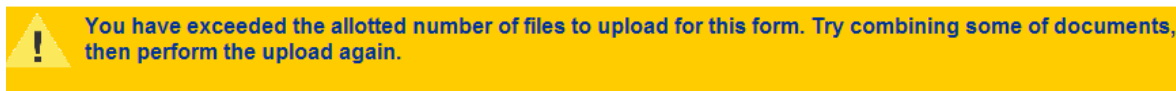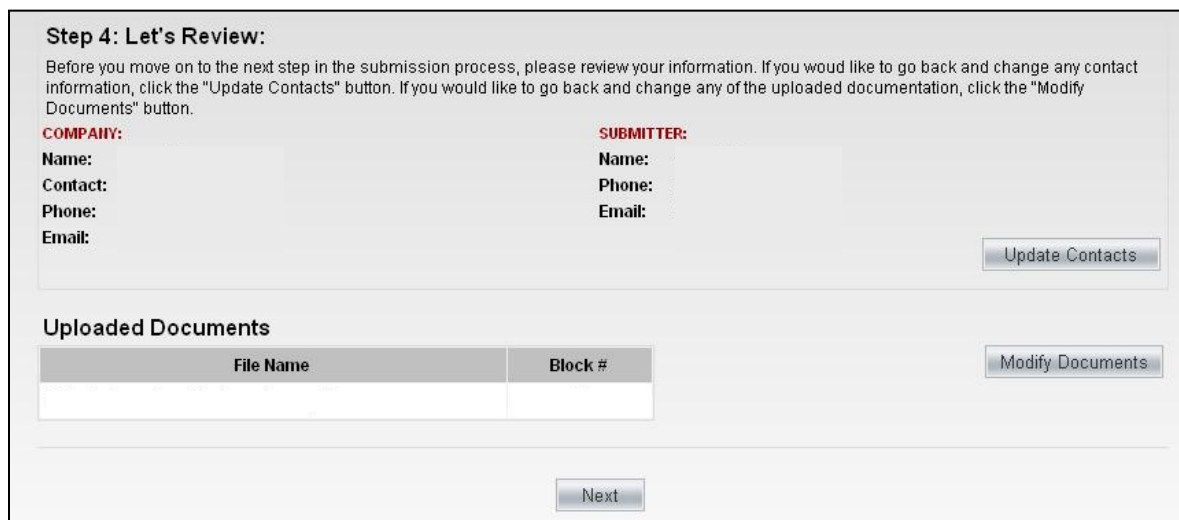
<p align="center">Figure 17 – Step 3: Error Message Maximum Attachments</p>

To correct this error, you must remove some of your additional documents or combine multiple attachments into one file. Only 20 additional documents are allowed for each DS-4076 submission.

STEP FOUR: Review and Submit Complete Package
You now have the option to update your contact information or modify the documents uploaded.

⚠ **Note:** Only use the navigation buttons provided within the application, such as the **Next** button. Also note that back button navigation through the browser (e.g., right mouse click → Back OR using the **Back** button in the browser if you use IE 6.0) may cause submission errors.

<p align="center">Figure 18 – Step 4: Review and Submit Complete Package</p>

If you have no changes:

1. If there are no corrections or additions, click the **Next** button (Next).

If you need to update the User Information:

1. If you find errors in your contact information, click the **Update Contacts** button (Update Contacts).
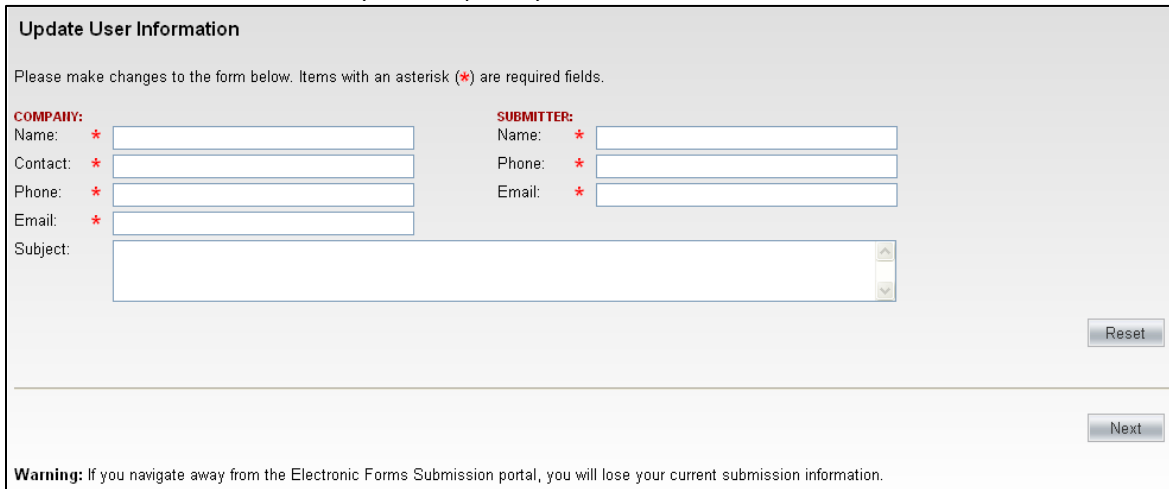2. You will now see this screen, where you can update your user information.

**Update User Information**

Please make changes to the form below. Items with an asterisk (✶) are required fields.

COMPANY:		SUBMITTER:	
Name: ✶		Name: ✶	
Contact: ✶		Phone: ✶	
Phone: ✶		Email: ✶	
Email: ✶			
Subject:			

Reset

Next

Warning: If you navigate away from the Electronic Forms Submission portal, you will lose your current submission information.

Figure 19 – Step 4: Update User Information

3. You have the option to correct the information on this page.
4. If you want to revert to the original values, click the **Reset** button (Reset).
5. After you have made changes to your contact information, click **Continue** button (Continue).
6. You will now be referred back to the Step 4: Let's Review page; this page should reflect all changes you made.
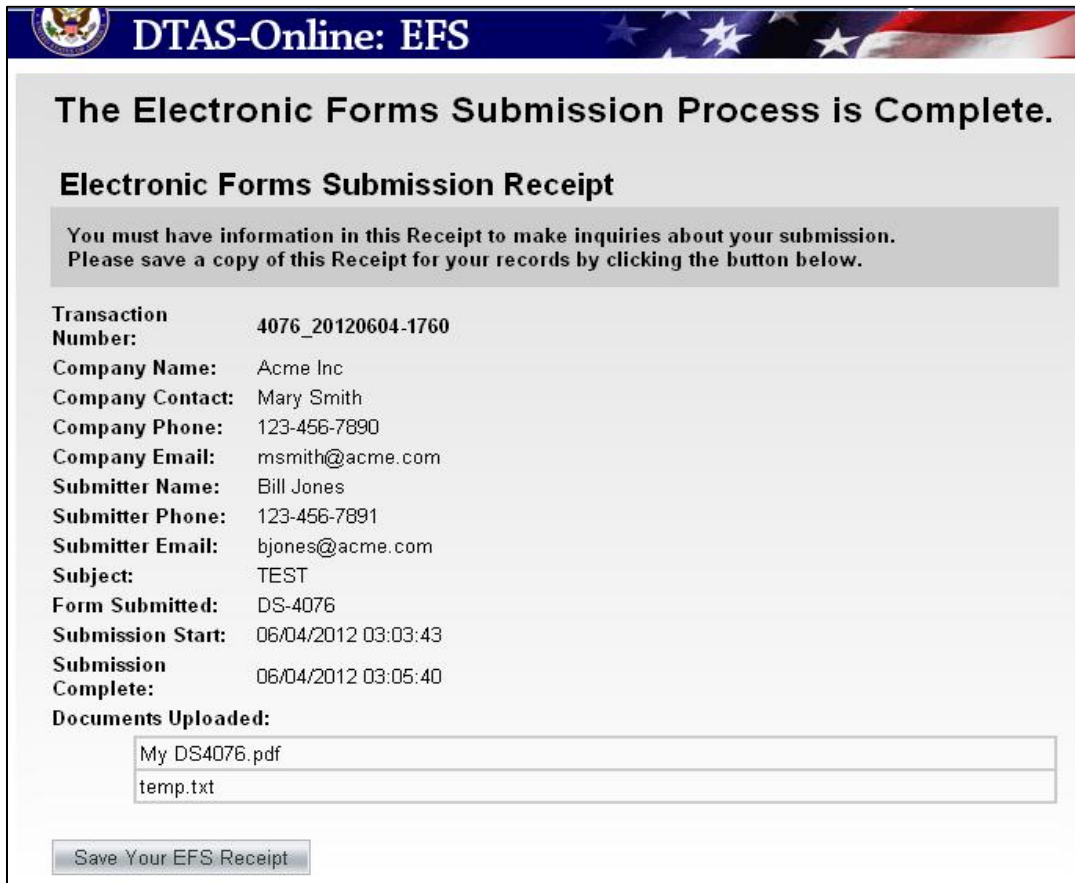7. If everything is correct, click the **Next** button (Next).

If you need to modify the Additional Documentation:

1. If you want to change or add additional documents, click **Modify Documents** (Modify Documents).
2. You will return back to the additional documentation page where you will follow the uploading document instructions again.
3. You should see all of the documents you have uploaded to your submission under the corresponding blocks.
4. Once again you have the option of removing documents before you submit the completed form package by clicking the red X icon (❌) beside the document you wish to remove.
5. After you have added, deleted, or modified documents, click the **Submit Complete Form Package** button.
6. (Submit Complete Form Package).
7. You will now be referred back to the Step 4: Let's Review page; this page should reflect all changes made.
8. If everything is correct, click the **Next** button (Next).

STEP FIVE: Receive Confirmation

After you have clicked the **Next** button (Next), you will receive a confirmation notice. The confirmation notice is a summary of your submission, including your transaction number, contact information, and a list of uploaded documents. You can print the receipt or save a PDF copy of the receipt by clicking the **Save Your EFS Receipt** button (Save Your EFS Receipt). Please retain this document for your records.

⚠ **Note:** Failure to receive a confirmation receipt after submitting a form package denotes a failed submission and the applicant must resubmit.

Figure 20 – DS-4076 Confirmation Page

Figure 21 – DS-2032 Confirmation Page